CLOSEOUT REPORT

Introduction

This report is the last of a series that you have completed throughout the life of your ATP project. These reports provide crucial information for ATP program officials to use in assessing the value of the ATP program, and reporting to policymakers and stakeholders. Thus it is important that you read the questions carefully and provide your best answer.

The purpose of these reports is to gather information about your project and organization. Because the information requested is quite diverse, the person completing this report may need to gather information from various organization sources and personnel. These sources should include individuals with detailed knowledge of the technical and business aspects of the ATP-funded project, and general knowledge about your organization as a whole.

Please respond to the questions on this report with regard to the following project:

Project title: []

Period of performance: []

Award Number: []

This report includes items regarding the following content areas:

- 1. Administrative Information
- 2. Key Personnel and Staffing
- 3. Subcontractors
- 4. Organization Characteristics
- 5. ATP Project Characteristics
- 6. Research Effort
- 7. Project Management
- 8. Research Outputs
- 9. Project Outcomes
- 10. Technology Innovation
- 11. Future Updates

OMB No: 0693-0009 Expiration Date: 11/30/06. This report is authorized under the Paperwork Reduction Act. Under the terms and conditions of your ATP award, your response is mandatory. Data collected will be shared with ATP staff, but considered confidential by ATP staff. Public reporting burden for this collection of information is estimated to average 45 to 75 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Director, Advanced Technology Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4700, Administration Building, Room A333, Gaithersburg, Maryland 20899-4700.

Section 1: Administrative Information

Organization Name and Location

The information shown below refers to your organization. Please verify the accuracy of this information.

Organization Name:	[COMP_NAME]
Division Name:	
Address Line 1:	[]
Address Line 2:	[]
Address Line 3:	[]
City:	[]
State:	[]
Zip:	[]
Website Address:	
	Division Name: Address Line 1: Address Line 2: Address Line 3: City: State: Zip:

[Programmer note: Prefill organization name and address info where available]

[Programmer Note: TCON_FNAME and TCON_LNAME are required fields]

[If $TYPE_OF_PARTICIPATION = JVL$]

Principal Investigator

The Principal Investigator named in the terms and conditions of your ATP Cooperative Agreement is responsible for the overall direction and supervision of the ATP-funded project.

[If TYPE_OF_PARTICIPATION = JVP]

Technical Contact

The Technical Contact person for your organization should be a mid- to senior-level person with responsibility for direction and supervision of technical work on this ATP-funded project.

TCON CONFIRM

If TCON COMFIRM=Yes:

Please verify the following information for [TCON FNAME TCON LNAME].

TCON_FNAME First Name
TCON_LNAME Last Name
TCON_SALUT [Drop down

TCON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]

TCON_TITLE Position Title

TCON_GNDR Gender Male___ Female ____

TCON_ORG1 Organization Name Line 1
TCON_ORG2 Organization Name Line 2

TCON_ADD1 Street Address Line 1 (no PO Box addresses, please)

TCON_ADD2 Street Address Line 2: TCON_ADD3 Street Address Line 3

TCON_CITY City
TCON_STATE State
TCON_ZIP Zip

TCON_PHONE Telephone

TCON_EXT Ext.
TCON_FAX Fax
TCON_EMAIL E-mail

[Programmer note: Pre-fill TCON info if available.]

[If TCON_CONFIRM = NO AND TYPE_OF_PARTICIPATION = JVL]

Principal Investigator

Please identify the Principal Investigator from the following list of personnel, or add a new name.

[If TCON_CONFIRM = NO AND TYPE OF PARTICIPATION = JVP]

Technical Contact

Please identify your organization's Technical Contact from the following list of personnel, or add a new name.

[DROP DOWN LIST OF ALL CONTACT NAMES]

[IF OLD NAME IS SELECTED FROM LIST]

Please verify the following information for [TCON_FNAME TCON_LNAME]. TCON_FNAME First Name TCON LNAME Last Name TCON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.] TCON TITLE **Position Title** TCON GNDR Gender Male Female Organization Name Line 1 TCON ORG1 TCON ORG2 Organization Name Line 2 Street Address Line 1 (no PO Box addresses, please) TCON_ADD1 TCON ADD2 Street Address Line 2: TCON ADD3 Street Address Line 3 TCON CITY City TCON_STATE State

TCON_ZIP Zip
TCON_PHONE Telephone
TCON_EXT Ext.
TCON_FAX Fax
TCON_EMAIL E-mail

[Programmer note: Pre-fill new TCON info if available.]

[IF ADD NEW TCON NAME IS SELECTED AND TYPE_OF_PARTICIPATION = JVL]

Please complete the following contact information for your new Principal Investigator.

[IF ADD NEW TCON NAME IS SELECTED AND TYPE OF PARTICIPATION = JVP]

Please complete the following contact information for your new Technical Contact.

TCON_FNAME	First Name
TCON_LNAME	Last Name
TCON_SALUT	[Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
TCON_TITLE	Position Title
TCON_GNDR	Gender Male Female
TCON_ORG1	Organization Name Line 1
TCON_ORG2	Organization Name Line 2
TCON_ADD1	Street Address Line 1 (no PO Box addresses, please)
TCON_ADD2	Street Address Line 2:
TCON_ADD3	Street Address Line 3
TCON_CITY	City
TCON_STATE	State
TCON_ZIP	Zip
TCON_PHONE	Telephone
TCON_EXT	Ext.
TCON_FAX	Fax
TCON_EMAIL	E-mail

Mr., Miss, Mrs., Ms.]

[Programmer Note: BCON_FNAME and BCON_LNAME are required fields]

Business Contact

The Business Contact person for your organization should be a mid- to senior-level person with responsibility for business development and commercialization aspects of this ATP-funded project.

BCON CONFIRM

BCON FNAME

Our records indicate that [BCON_FNAME BCON_LNAME] is your organization's Business Contact. Is this information correct?

Yes	 •••	 	 	• • •	 .]
No.	 	 	 		 .2

If BCON_CONFIRM=Yes:

Please verify the following information for [BCON_FNAME_BCON_LNAME].

BCON_LNAME	Last Name
BCON_SALUT	[Drop down box with following options: Dr., Mr
BCON_TITLE	Position Title
BCON_GNDR	Gender Male Female
BCON_ORG1	Organization Name Line 1
BCON_ORG2	Organization Name Line 2
BCON_ADD1	Street Address Line 1 (no PO Box addresses, please)
	~

BCON_ADD2 Street Address Line 2:
BCON_ADD3 Street Address Line 3

First Name

BCON_CITY City
BCON_STATE State
BCON_ZIP Zip
BCON_PHONE Telephone

BCON_EXT Ext.
BCON_FAX Fax

BCON_FAX Fax
BCON_EMAIL E-mail

[Programmer note: Pre-fill BCON info if available.]

If BCON_CONFIRM= No:

Please identify your organization's Business Contact from the following list of personnel, or add a new person.

[DROP DOWN LIST OF ALL CONTACT NAMES]

[IF OLD NAME IS SELECTED FROM LIST]

Please verify the following information for [BCON_FNAME BCON_LNAME].

Thease verify the folio	owing information for [BCON_FNAME BCON_ENAME].
BCON_FNAME	First Name
BCON_LNAME	Last Name
BCON_SALUT	[Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
BCON_TITLE	Position Title
BCON_GNDR	Gender Male Female
BCON_ORG1	Organization Name Line 1
BCON_ORG2	Organization Name Line 2
BCON_ADD1	Street Address Line 1 (no PO Box addresses, please)
BCON_ADD2	Street Address Line 2:
BCON_ADD3	Street Address Line 3
BCON_CITY	City
BCON_STATE	State
BCON_ZIP	Zip
BCON_PHONE	Telephone
BCON_EXT	Ext.
BCON_FAX	Fax
BCON_EMAIL	E-mail

[Programmer note: Pre-fill new BCON info if available.]

[IF ADD NEW BCON NAME IS SELECTED]

Please complete the following contact information for your new Business Contact.

BCON_FNAME	First Name
BCON_LNAME	Last Name
BCON_SALUT	[Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]
BCON_TITLE	Position Title
BCON_GNDR	Gender Male Female
BCON_ORG1	Organization Name Line 1
BCON_ORG2	Organization Name Line 2
BCON_ADD1	Street Address Line 1 (no PO Box addresses, please)
BCON_ADD2	Street Address Line 2:
BCON_ADD3	Street Address Line 3
BCON_CITY	City
BCON_STATE	State
BCON_ZIP	Zip
BCON_PHONE	Telephone
BCON_EXT	Ext.
BCON_FAX	Fax
BCON_EMAIL	E-mail

Administrative Contact

The Administrative Contact person is responsible for administrative issues relating to the ATP Cooperative Agreement, including managing contract, budget, and related matters.

ACON CONFIRM

Our records indicate that [ACON_FNAME ACON_LNAME] is your organization's Administrative Contact. Is this information correct?

Yes1

No......2

If ACON CONFIRM = Yes:

Please verify the following information for [ACON_FNAME ACON_LNAME].

ACON_FNAME First Name: ACON_LNAME Last Name:

ACON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]

ACON_TITLE Position Title:

ACON_GNDR Gender: Male____ Female _____

ACON_ORG1 Organization Name Line 1: ACON_ORG2 Organization Name Line 2:

ACON_ADD1 Street Address Line 1 (no PO Box addresses, please):

ACON_ADD2 Street Address Line 2: ACON_ADD3 Street Address Line 3:

ACON_CITY City:
ACON_STATE State:
ACON_ZIP Zip:

ACON_PHONE Telephone:
ACON_EXT Extension:
ACON_FAX Fax:
ACON_EMAIL E-mail:

[Programmer note: Pre-fill ACON info if available.]

If ACON_CONFIRM = No:

Please identify your organization's Administrative Contact from the following list of personnel, or add a new person.

[DROP DOWN LIST OF ALL CONTACT NAMES]

[IF OLD NAME IS SELECTED FROM LIST]

Please verify the following information for [ACON_FNAME ACON_LNAME].

ACON_FNAME	First Name:			
ACON_LNAME	Last Name:			
ACON_SALUT	[Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.]			
ACON_TITLE	Position Title:			
ACON_GNDR	Gender: Male Female			
ACON_ORG1	Organization Name Line 1:			
ACON_ORG2	Organization Name Line 2:			
ACON_ADD1	Street Address Line 1 (no PO Box addresses, please):			
ACON_ADD2	Street Address Line 2:			
ACON_ADD3	Street Address Line 3:			
ACON_CITY	City:			
ACON_STATE	State:			
ACON_ZIP	Zip:			
ACON_PHONE	Telephone:			
ACON_EXT	Extension:			
ACON_FAX	Fax:			
ACON_EMAIL	E-mail:			

[Programmer note: Pre-fill new ACON info if available.]

[IF ADD NEW ACON NAME IS SELECTED]

Please complete the following contact information for your new Administrative Contact.

ACON_FNAME First Name: ACON_LNAME Last Name: [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.] ACON_SALUT ACON_TITLE Position Title: ACON_GNDR Gender: Male____ Female _____ ACON_ORG1 Organization Name Line 1: ACON_ORG2 Organization Name Line 2: ACON_ADD1 Street Address Line 1 (no PO Box addresses, please): Street Address Line 2: ACON_ADD2 ACON_ADD3 Street Address Line 3: ACON_CITY City: **ACON STATE** State: ACON_ZIP Zip: ACON_PHONE Telephone: ACON_EXT Extension: ACON_FAX Fax: ACON EMAIL E-mail:

[IF NEW ACON NAME IS SELECTED]

Please complete the following contact information for your new Administrative Contact.

ACON_FNAME First Name: ACON_LNAME Last Name: ACON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs., Ms.] ACON_TITLE Position Title: ACON_GNDR Gender: Male____ Female _____ ACON_ORG1 Organization Name Line 1: ACON_ORG2 Organization Name Line 2: ACON_ADD1 Street Address Line 1 (no PO Box addresses, please): ACON_ADD2 Street Address Line 2: ACON_ADD3 Street Address Line 3: ACON_CITY City: ACON STATE State: ACON_ZIP Zip: ACON_PHONE Telephone: ACON_EXT Extension: ACON_FAX Fax: ACON EMAIL E-mail:

Section 2: Key Personnel

Key Project Personnel

In the table below, please identify employees from your organization who are key personnel for the ATP project at this time.

First Name	Last Name	Gender	Position Title	Delete
				Entry
[TCON_FNAME]	[TCON_LNAME]	Male1	[TCON_TITLE]	
		Female2		
[BCON_FNAME]	[BCON_LNAME]	Male1	[BCON_TITLE]	
		Female2		
[ACON_FNAME]	[ACON_LNAME]	Male1	[ACON_TITLE]	
		Female2		
KP#_FNAME	KP#_LNAME	KP#_GNDR	KP#_TITLE	

Add/Update

Press 'Add/Update' button to add another row, or to update table.

[Programmer note: The same person should not be listed more than once in this table]

For the key personnel listed below, please indicate the citizenship status of each person.

Name	Citizenship Status
[KP#_FNAME KP#_LNAME]	Born U.S. citizen = 1
	Naturalized U.S. citizen =2
	Permanent resident=3
	Other=4
[KP#_FNAME KP#_LNAME]	KP#_CITIZEN

[Programmer note: Variables KP#_FNAME KP#_LNAME indicate the names of all key personnel, including TCON, BCON, ACON.]

For the key personnel listed below, please indicate graduate degrees that each person holds. Check all that apply for each person.

Name	Master's	PhD	MD	Other
				graduate degree
[KP#_FNAME KP#_LNAME]				
[KP#_FNAME KP#_LNAME]	KP#_M	KP#_PHD	KP#_MD	KP#_OTH

For the key personnel listed below, please enter the university and department where the degree indicated was earned.

Name	Graduate	University	Department
	degree		
[KP#_FNAME KP#_LNAME]	[highest degree selected in table above]		
[KP#_FNAME KP#_LNAME]		KP#_DEG_UNIV	KP#_DEG_DEPT

[Programmer note: Show only the "highest" graduate degree selected in previous table. The order of priority is: (1) PhD, (2) MD, (3) Master's, (4) Other graduate degree.]

For the key personnel listed below, please enter the total years of work experience of each person.

Name	Years of Work Experience
	years
[KP#_FNAME KP#_LNAME]	
[KP#_FNAME KP#_LNAME]	KP#_WRKEXP (0-99)

For the key personnel listed below, please indicate the role(s) each person serves on the ATP-funded project. Check all that apply for each person.

Name	Technical	Management Role
	Role	
[KP#_FNAME KP#_LNAME]		
[KP#_FNAME KP#_LNAME]	KP#_TECHROLE	KP#MGMTROLE

[Programmer note: In tables above, variable KP#_ indicates names of all key personnel, including TCON, BCON, ACON.]

Project Staffing

Please provide information on the total project staffing for your ATP-funded project during the past reporting year.

The past reporting year covers the period [PY_START] to [PY_END].

PROJ_EMPLOY (0-99) How many employees in total from your organization worked on the ATP-funded project during the past reporting year? ____Total employees PROJ_FTE (0.00-99.99) How many full-time equivalent (FTE) employees from your organization worked on the ATP project during the past reporting year? ____FTE employees

In the table below, please indicate the full-time equivalent (FTE) time contributed to the project by key personnel from your organization during the past reporting year.

Name	Position Title	FTE time on the ATP project (0.00-1.00)
[KP#_FNAME KP#_LNAME]	[KP#_TITLE]	
[KP#_FNAME KP#_LNAME]	[KP#_TITLE]	KP#_FTE (0.00-1.00)

[Programmer note: The table above lists all key personnel active on the project during the past reporting year.]

Section 3: Subcontractors

Subcontractor Information

SUBS

Over the course of the ATP project, has your organization used any subcontractors for the project?

Yes1 No.....2

[IF SUBS = 1]

In the table below, please identify subcontractors that worked for and were paid directly by your organization on the ATP-funded project. For joint venture (JV) projects, please report only subcontractors that your organization paid directly. Other JV partners will report subcontractors that they paid directly.

Subcontractor Organization Name	City	State	Zip	Delete Entry
SUB#_ORG	SUB#_CITY	SUB#_STATE	SUB#_ZIP	

Add/Update

Press 'Add/Update' button to add another row, or to update table.

[Fill out for each subcontractor]

SUB#_ORGTYPE

SUB#_EMPLOY

How many total employees does this subcontractor have?

Fewer than 10	1
10 to 99	2
100 to 499	3
500 or more	4

Please provide information for the person at [SUB#_ORG] responsible for carrying out the work on the subcontract.

SUB#_CON_FNAME	First Name
SUB#_CON_LNAME	Last Name
SUB#_CON_SALUT	[Drop down box with following options:
	Dr., Mr., Miss, Mrs., Ms.]
SUB#_CON_TITLE	Position Title
SUB#_CON_GNDR	Gender Male Female
SUB#_CON_ORG1	Organization Name Line 1
SUB#_CON_ORG2	Organization Name Line 2
SUB#_CON_ADD1	Address Line 1
SUB#_CON_ADD2	Address Line 2
SUB#_CON_ADD3	Address Line 3
SUB#_CON_CITY	City
SUB#_CON_STATE	State
SUB#_CON_ZIP	Zip
SUB#_CON_PHONE	Telephone
SUB#_CON_EXT	Ext.
SUB#_CON_EMAIL	E-mail

SUB#_PRIOR Has your organization worked with this subcontractor before (i.e., prior to the curre ATP project)? Yes	ent
SUB#_PRIORYRS (1-99) If yes, how many years of experience has your organization had working with this subcontractor? Years	
SUB#_AMOUNT (0.00-999.99) What is the total amount of this subcontract for the ATP project? \$ Thousands	

Does the work performed by this subcontractor on the ATP project involve:

		Yes	No
SUB#_RD	Collaborative R&D?	1	2
SUB#_EQUIP	Design and delivery of specialized equipment?	1	2
SUB#_MAT	Provision of specialized materials?	1	2
SUB#_TEST	Testing or laboratory services?	1	2
SUB#_OTH	Other	1	2
SUB#_OS	Please specify:		

SUB#_DESC	Please briefly describe the subcontract work, and indicate why this subcontractor was selected to perform the work.

Section 4: Organization Characteristics

Background Information

Please provide descriptive information for your organization [COMP-_NAME]

COMP_MULTI_ESTAB Does your organization currently have more than one business location?

Employment Information

Please provide employment information for your organization [COMP_NAME].

COMP EMPLOY (0-999,999)

Including full-time and part-time employees, how many employees did your organization have at the end of the last calendar quarter?

_____ Total employees

COMP_EMPLOY_RD (0-999,999)

Including full-time and part-time employees, how many employees at your organization worked **in R&D** at the end of the last calendar quarter?

____ R&D employees

Financial Information

Please provide the following financial information for your organization [COMP_NAME] from your last fiscal year financial report.

	ALYR closing date for your last fisca ay/Year (Month: 1-12, Day: 1	• • • • • • • • • • • • • • • • • • • •
COMP_REVI	ENUE (0.00-999.99)	
etc.), what we	ources of revenue (e.g., gifts, re total organization revenues	sales, licensing, research contracts, grants, for the last fiscal year?
\$	Thousands1 Millions2 Billions3	COMP_REVENUE_UNITS
COMP_RD (0	.00-999.99)	
What were tot	al R&D expenditures at your	organization for the last fiscal year?
\$		
	Thousands1 Millions2 Billions3	COMP_RD_UNITS

R&D Characteristics of Your Organization

You reported that your organization's total R&D expenditures for the last fiscal year were: [COMP_RD][COMP_RD_UNITS].

[If COMP_RD > 0]				
What percent of your organization's Basic Research Applied Research Product Development SUM = 10	% COM % COM % COM	tures last fiscal year was P_RD_BAS (0-100) P_RD_APP (0-100) P_RD_DEV (0-100)		
COMP_RD_LT (0-100) What percent of your organization's R&D expenditures last fiscal year was devoted to projects with a duration of three years or more?%				
COMP_RD_EXT (0-100) What percent of your organization's R&D expenditures last fiscal year was funded from external resources (e.g., government sources, other companies)?%				
If COMP_RD_EXT > 0:				
Of your organization's exter percent was from:	nally funded F	R&D expenditures last	fiscal year, what	
Federal government	%	COMP_RD_FED	(0-100)	
State and local government		COMP_RD_STATE	The state of the s	
Other companies	%	COMP_RD_CORP		
Other external sources	%	COMP_RD_OTH	(0-100)	
SUM = 100%				

Since the start of the ATP project, has your organization received any assistance for R&D through:

(Please check all that apply.)

_ A state or local government program	COMP_LOCALPROG
_ A university program	COMP_UNIVPROG
_ A technology or business incubator	COMP_INCUBATOR

[If COMP_MULTI_ESTAB = Yes]

R&D Characteristics of Your Location

2.002 0.0000000000000000000000000000000			
Since your organization has more than one location, please answer the following questions with respect to your own specific location.			
ESTAB_TYPE Is your location dedicated exclusively to R&D? Yes			
ESTAB_RD (0.00-999.99) What were total R&D expenditures at your location for the last fiscal year? Thousands1 ESTAB_RD_UNITS Millions2 Billions3			
ESTAB_EMPLOY (0-99,999) At the end of the last calendar quarter, how many employees worked at your location? Employees			
ESTAB_EMPLOY_RD (0-99,999) At the end of the last calendar quarter, how many employees worked in R&D at your location? R&D employees			

Section 5: ATP Project Characteristics

Project Description

PROJ_DESC Please describe the key technology and this project.		e that your organization brings to
PROJ_GOAL Please describe your organization's "bithis project.		rall technical and business goal for
PROJ_AMBITIOUS		
Relative to other R&D initiatives in yo overall goals identified for this project	-	w ambitious would you say are the
Much less ambitious Equally a		

Technology Diffusion

Consider the relationship between your ATP project and other R&D projects at your organization.

KNOW_COMP_IN

Over the course of the ATP project, to what extent did your ATP project draw on results and "know-how" from other **current** R&D projects at your organization?

Large extent	4
Moderate extent	
Small extent	
Not at all	

KNOW_COMP_OUT

Over the course of the ATP project, to what extent did other **current** R&D projects at your organization draw on results and "know-how" from your ATP project?

Large extent	4
Moderate extent	3
Small extent	
Not at all	

Consider external sources of knowledge that you have benefited from in carrying out your ATP project.

	Over the course of the ATP	Large	Moderate	Small	Not at all
	project, to what extent did	Extent	Extent	Extent	
	your ATP project draw on				
	knowledge from				
KNOW_UNIV	Universities	4	3	2	1
KNOW_GOV	Government laboratories	4	3	2	1
KNOW_NP	Non-profit institutions	4	3	2	1
KNOW_COMP	Other companies	4	3	2	1

Think about the types of knowledge that your ATP project has produced.

RESULTS_DIFFUSION

How quickly do you expect critical research *results* from this project to become known to others outside your organization?

Within 2 years of project end12 to 5 years after project end25 to 10 years after project end310 or more years after project end4Never5

KNOWHOW_DIFFUSION

How quickly do you expect the critical research "*know-how*" from this project to become known to others outside your organization?

Within 2 years of project end	1
2 to 5 years after project end	
5 to 10 years after project end	
10 or more years after project end	
Never	

R&D Collaboration

COLLAB_WO_ATP

If the ATP funding had not been received, do you think your organization would be conducting collaborative work on this project research with any of your JV partner organizations at this time?

Consider the resources and capabilities your organization alone could bring to bear on this project. To what extent have your collaborative relationships contributed to the ATP-funded project in the following ways?

Descende Ctops	Large	Moderate	Small	Not at		
Research Stage	Extent	Extent	Extent	all		
COLLAB_IP	4		2	1		
Contributed intellectual property to	4	3	2	1		
the project						
COLLAB_RESEXP						
Increased the breadth of research	4	3	2	1		
expertise applied to the project						
COLLAB_EQUIP						
Made critical research equipment or	4	3	2	1		
components available to the project						
COLLAB_CUST						
Identified customer needs during the	4	3	2	1		
research stage						
COLLAB_RESMGMT						
Provided research management skills	4	3	2	1		
to the project						
Commercialization Stage	Commercialization Stage					
COLLAB_MFGEXP	4	3	2	1		
Increased the breadth of						
manufacturing expertise applied to						
the project						
COLLAB_MFGFAC	4	3	2	1		
Made manufacturing facilities						
available to the project						

COLLAB_NEW

As a result of the ATP project, has your organization developed new and important
research partnerships or relationships with other organizations (aside from joint venture
partners and/or subcontractors)?

COLLAB_EXTEND

As a result of the ATP project, has your organization expanded or extended existing research partnerships or relationships with other organizations (aside from joint venture partners and/or subcontractors)?

Yes1 No......2

[IF	[IF $COLLAB_NEW = 1 (Yes)$]			
	• • • • • • • • • • • • • • • • • • • •	your organization formed new and important he ATP project. (Please check all that apply).		
	Companies? Universities? Government laboratories? Other non-profit organizations?	NEWCOLLAB_COMP NEWCOLLAB_UNIV NEWCOLLAB_GOV NEWCOLLAB_NP		

[IF COLLAB_EXTEND = 1 (Yes)] Please indicate the types of organizations your organization expanded or extended existing research relationships with as a result of the ATP project. (Please check all that apply). Companies? EXISTCOLLAB_COMP Universities? EXISTCOLLAB_UNIV Government laboratories? EXISTCOLLAB_GOV Other non-profit organizations? EXISTCOLLAB_NP

Section 6: Research Effort

ATP Project

Since the start of the ATP project, how much has your organization spent on the ATP project under the Cooperative Agreement?

	OWN (0.00-999.99) Denditure from own sources: Thousands1	DDOL EVDEND OMNI LINUTC
	Millions2	PROJ_EXPEND_OWN_UNITS
PROJ_EXPEND_		
	penditure from ATP sources:	
\$	Thousands1 Millions2	PROJ_EXPEND_ATP_UNITS
	1 0 0	anization incurred any additional R&D I the Cooperative Agreement)?
If Yes:		
PROJ_ADD_AM		
•	our organization spent on addition (additional cooperative Agreement)?	tional R&D expenditures related to the ATF
Additional project	t-related R&D expenditure:	
	Thousands1 Millions2	PROJ_ADD_AMT_UNITS

Line of Research

	Line	of Research
Consider the specific l	ine of research represe	ented by your ATP project.
Please provide a brief	descriptive definition f	For this line of research.
LOR_DESC		
LOR_PREV3_RD (0.0	Ŋ <u>-</u> 999 99)	
In the three years befo	re the ATP award, ho esearch? (Your best est	ow much R&D expenditure did your organization timate is fine. Please include expenditures from both
Tl	nousands1 illions2	LOR_PREV3_UNITS
For the next few items research, aside from A		organization's R&D expenditure in this line of R&D expenses.
LOR_PROJ_RD (0.00		
this line of research, exinclude expenditures for	scluding the ATP-fund	R&D expenditure has your organization devoted to led project? (Your best estimate is fine. Please external sources of funding.)
\$	1 1	LOD DDOL DD LINUTG
	nousands1 illions2	LOR_PROJ_RD_UNITS

$[If LOR_PROJ_RD > 0]$

LOR_PROJ_RD_EXT (0-100)

What percent of the R&D expenditure for this line of research (excluding the ATP project) was funded from external sources outside your organization (e.g., government sources, other companies)?

__% Percent of R&D funded from external sources

[If LOR	PROJ	$\mathbf{R}\mathbf{D}$	EXT	>	01

Excluding the ATP project, please indicate the sources of external funding for this line of research.

Did your organization receive funding from the following sources?

LOR_FED, LOR_FI	D_SPEC
Federal governm	nt programs
	Yes1
	No2
	Don't Know7
If Yes:	
Specify agency a	d program:
speerly agency a	a program.
	
	
LOR_LOCAL	
	varnment programs
State and local go	vernment programs Yes1
	No2
	Don't Know7
	Doll t Kilow/
LOR_OTH	
Companies	
Companies	
	Yes1
	No2 Don't Know7
	Duil t Kiluw/

Project Effort

Consider the project period [PROJ_START] to [PROJ_END].

PF	SOI	WO	ATP	PAST1	(0.00-999.99)

Without ATP funding, how much expenditure do you think your organization would have
devoted to the ATP project research during this period?
\$

Thousands1	PROJ_WO_ATP	_PAST1	_UNITS
Millions2	•		

RDSAMEGOAL

Without the ATP award, would your organization have undertaken a project with the same technical goals and milestones as the ATP project?

Yes	 												.]	l
No.	 												.2	2

PROJWORK_WO_ATP

Consider the research work that you have completed to date on the ATP project. Without ATP funding, how much of this research work do you think your organization would have completed to date?

None	0
1% to 20%	1
21% to 40%	2
41% to 60%	3
61% to 80%	4
81% 100%	5

RD	\sim	\sim		_	•	7	\sim
ווש	 •		_		•	יש	•

Consider your organization's research objectives for your ATP project. How much has the ATP
project accelerated your organization's progress toward your research objectives?
None0
1 year1
2 years2
3 years3
4 years4
5 years5
More than 5 years6
wore than 3 years
Would not be able to achieve organization research objectives without the ATP project99
COMM_ACCEL_YRS
Considering the timeline for your ATP project technology, how much has the ATP project
shortened the time for your technology to reach the market
None0
1 year1
2 years2
3 years3
4 years4
5 years5
More than 5 years6

What would your organization have done with the resources dedicated to your ATP project if you had not received ATP funding? (Please check all that apply.)

Without the ATP project, this technology would not

reach the market -99

 Used these resources for other research projects on the same technology	RES_SAME
 Used these resources for research projects on a different technology	RES_DIFF
 Used these resources for activities other than research	RES_OTHER

[If RES_SAME = 1 (Checked) or RES_DIFF = 1 (Checked)]

How would the project that you would have undertaken without ATP funding have compared to the ATP project in terms of:										
	Much less	Less	Equal	More	Much greater					
TECH_RISK Degree of technical risk	1	2	3	4	5					
TECH_BREADTH Breadth of technical goals	1	2	3	4	5					
TECH_AMBIT Ambitiousness of technical goals	1	2	3	4	5					
PROJ_SCALE Overall scale of project	1	2	3	4	5					
TECH_COMM Overall time until technology commercialization	1	2	3	4	5					

Section 7: Project Management

Organization Developments

Over the course of the ATP project, have any of the following significant events occurred at your organization? (Please check all that apply.)

_Change in organization top management	SIG_EVENT_TOP
_Change in strategic direction of the organization	SIG_EVENT_DIR
_Organization re-structuring	SIG_EVENT_RESTRUC
_Financial difficulty and/or downsizing	SIG_EVENT_DOWN
_Other, please specify:	SIG_EVENT_OTH
	SIG_EVENT_OS
_None of the above	SIG_EVENT_NONE

Project Communication

JV_MEETINGS (0-99)

Over the course of the project, how many project review meetings were held where all partners in the JV were represented?

____ Number of meetings

JV JOINTWORK (0-999)

Over the course of the project, how much staff time, in person-days, did your organization devote to carrying out joint work on project tasks with staff from your JV partners?

____ Number of person-days

JV_COMMUNICATION

Over the course of the project, how frequently did staff from your organization communicate by telephone, email, or video-conference with staff from your JV partners?

More than once a week	6
Several times a month	5
About once a month	4
Several times a year	3
Once or twice a year	
Less often than once a year	

Trust and Knowledge Sharing

Please characterize the extent of trust and knowledge sharing that you have experienced in the ATP joint venture project..

JV TRUST FAIR

To what extent do you trust your JV partners to show good will and treat your organization fairly?

Large extent	4
Moderate extent	3
Small extent	
Not at all	

JV_TRUST_UNFAIR

To what extent do you think your JV partners would take unfair advantage of your organization if they had the chance (e.g., if you did not have proper legal protections in place)?

Large extent	4
Moderate extent	
Small extent	2
Not at all	

JV_SHARE_KNOWLEDGE

To what extent do you think your JV partners share proprietary knowledge or confidential information in order to help the JV achieve its objectives?

		3	
Large extent		-	4
Moderate exter	nt	•••••	3
		•••••	

JV_SHARE_RELEVANT

To what extent do you think your JV partners share whatever relevant knowledge they have in order to help the JV achieve its objectives?

Large extent	4
Moderate extent	
Small extent	
Not at all	

JV_STRUCTURE

Would you characterize any of your JV partner companies as a: (Please check all that apply)

JV_SUPPLIER

_ Supplier (partner organization provides inputs to your organization's products/technologies)

JV_CUSTOMER

_ Customer (partner organization purchases your organization's products/technologies)

JV_COMPLEMENTOR

_ "Complementor" (partner organization's products/technologies are used together with your organization's products/technologies)

JV COMPETITOR

_ Competitor (partner organization serves the same product market as your organization)

JV OTHER, JV OSPEC

_ Other, please specify: _____

Consider the ATP joint venture project overall.

JV_POWER_FORMAL

In terms of the *formal* agreement among JV partners, to what extent do some JV partners have more power than other partners in areas such as decision-making and rights over JV output?

Large extent	4
Moderate extent	3
Small extent	
Not at all	

JV POWER INFORMAL

In terms of the *informal* relations among JV partners, to what extent do some JV partners have more power than other partners?

Large extent	4
Moderate extent	
Small extent	
Not at all	

Consider the formal JV agreement and other governance procedures developed by your ATP joint venture.

How satisfied are you with the JV agreement and governance procedures with regard to:

JV GOVERNANCE BIP

Protection of intellectual property or proprietary information contributed by JV partners

Very satisfied	5
Satisfied	
Neither satisfied nor dissatisfied	
Dissatisfied	2
Very dissatisfied.	

JV GOVERNANCE FIP

Ownership of new intellectual property developed by the JV

Very satisfied	5
Satisfied	
Neither satisfied nor dissatisfied	3
Dissatisfied	2
Very dissatisfied	

JV_GOVERNANCE_DISPUTES Resolution of disputes or disagreements among JV partners

\mathcal{U}	\mathcal{C}	1	
Very satisfied			5
Satisfied			
Neither satisfied no	r dissatis	fied	3
Dissatisfied			2
Very dissatisfied			

JV_GOVERNANCE_WORK

Verification of work task performance among JV partners	
Very satisfied	5
Satisfied	
Neither satisfied nor dissatisfied	3
Dissatisfied	2
Very dissatisfied	1

Section 8: Research Outputs

The following section concerns the research output that may have been generated from your organization's ATP-funded technology. The section is divided into three parts: presentations, publications, and project awards. You will be asked to provide the following information for each subsection:

Presentations:

Date of presentation
Title of presentation
Name of meeting or conference
Location of meeting or conference (city, state, country)
Approximate attendance
Author names

Publications:

Date of paper

Title of paper

Status of paper (unpublished, submitted for publication, accepted for publication)
Name of journal of publication where paper was submitted or published (if applicable)
Volume, issue, page numbers (if published)

Author names

Project awards:

Title of award

Year of award

Awarding organization

Type of award (scientific/technical, business/industry)

Presentations

We are interested in conference or meeting presentations where your organization has publicly disseminated information about your ATP-funded project.

In the table below, please provide information about any presentations regarding the ATP project made by staff of your organization.

Date of Presentation	Title of Presentation	Name of Meeting or Conference	Delete Entry
(MM/YYY)			,
CP#_DATE	CP#_TTL	CP#_ CONF	

Add/Update

ITEMS FOR EACH PRESENTATION LISTED IN THE PREVIOUS TABLE.]

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING

-	-		on for the following presentation
Date of Preser	ntation: [<mark>CP#_I</mark>	DATE]	
Title of Preser	ntation: [<mark>CP#_</mark>]	<mark>[TL</mark>]	
Meeting or Co	onference: [CP7	#_CONF]	
_			
Where was the	e meeting or co	nference l	ield?
CP#_CITY	_		
CP#_STATE	State:		
		•	
CP#_ATTEN	D		
		ople atten	ded this presentation?
1-24 persons.		1	1
25-99 persons			
100+ persons.			
roo persons.			
Please enter a	ll author names	on the pre	esentation in the table below:
First Name	Last Name	Delete	
1 Hot I tallio	Last I (allie	Entry	
		Litty	
CP#_FN	CP# LN		
	Cr#_LN		l
Add/Update	- doto! h.v + -	البيسة أمامي	an novy and a vindada dal-1-
Press Add/Uj	buate button to	ada anoti	ner row, or to update table.

Papers and Publications

We are interested in papers and publications authored by staff of your organization that publicly disseminates information and results from your ATP-funded project.

In the table below, please report any ATP-related papers authored by staff of your organization.

Date of Paper (MM/YYYY)	Title of Paper	Status of Paper
		Unpublished paper
PP#_DATE	PP#_TTL	PP#_STATUS

Add/Update

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PUBLICATION LISTED AS "UNPUBLISHED"]

Please provide the requested information for the following paper:

Title of Paper: [PP#_TTL]
Date of Paper: [PP#_DATE]

Please enter all author names for the paper in the table below:

First Name	Last Name	Delete		
		Entry		
PP#_FN	PP#_LN			

Add/Update

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PUBLICATION LISTED AS "SUBMITTED FOR PUBLICATION"]

Title of Paper:	the requested information for the following paper: [PP#_TTL] [PP#_DATE]
PP#_PUB	Name of journal or publication submitted to:

Please enter all author names for the paper in the table below:

First Name	Last Name	Delete Entry
PP#_FN	PP#_LN	

Add/Update

[PROGRAMMER NOTE: PLEASE LOOP THROUGH THE FOLLOWING ITEMS FOR EACH PUBLICATION LISTED AS "ACCEPTED FOR PUBLICATION"]

Please provide	the requ	uested information	n for the fo	llowing paper:
Title of Paper:	[PP#_T	TL]		
Date of Paper:	[PP#_D	OATE]		
PP#_PUB	Name o	of journal or public	cation:	
Please provide	addition	nal citation inform	nation, if k	nown:
PP#_VOL	Volume	number:		_
PP#_ISSUE	Issue nu	ımber:		
PP#_PGS	Page nu	ımbers:		
Please enter al	l author	names for the pap	er in the ta	ible below:
First Name	La	ast Name	Delete	

Entry

Add/Update

PP#_FN

Press 'Add/Update' button to add another row, or to update table.

PP#_LN

Project-related Awards

PROJ_AWDS

Over the course of the project, did your organization or project team members receive any scientific or industry awards related to your ATP project?

If PROJ_AWDS = Yes:

Please enter information about ATP project-related awards.

Title of Award	Year of Award	Awarding Organization
AWD#_TTL	AWD#_YR	AWD#_ORG

Add/Update

Please indicate the type of award your organization or project team members received:

	, 	1 3
Title of Award	Year of Award	Type of Award
		Scientific/Technical achievement1
		Business/Industry achievement2
AWD# TTL	AWD# YR	AWD# TYPE
AWDII_IIL	AWDII_IK	AWDILITE

Section 9: Project Outcomes

Project Technical Goals

TECH_ACHIEVE_PROJ
Consider the technical goals of the joint venture (JV) project. Would you say the JV
project achieved
Few, if any, of its technical goals1
Some of its technical goals2
Most of its technical goals3
All of its technical goals4
Beyond its technical goals5
TECH_ACHIEVE_COMP
Consider your organization's technical goals for the project. Would you say your
organization achieved
Few, if any, of its technical goals1
Some of its technical goals
Most of its technical goals
All of its technical goals4
Beyond its technical goals5
NEW WOLLDWAY
NEWKNOWL
To what extent was useful new knowledge created from your ATP-funded project?
Large extent4 Moderate extent3
Small extent
Not at all
1 vot at an1
HETEVOE OF DADTICIDATION IN I
[If TYPE_OF_PARTICIPATION = JVL]
RDCOMMCRL
To what extent did your organization achieve all technical goals needed to begin product
development or clinical trials for initial commercialization of ATP-funded technology?
Fully achieved5
Largely achieved4
Partially achieved3 Somewhat achieved2
Not achieved1
1101 achieveu1

SIG_TECH_CHALLENGE

How significant are any additional technical (research, development) challenges that so	till
need to be addressed in order to achieve widespread commercialization?	

SIG_NONTECH_CHALLENGE

How significant are any additional non-technical (regulatory, business) challenges that still need to be addressed in order to achieve widespread commercialization?

Very significant	4
Moderately significant	3
Somewhat significant	
Not significant	
1 (00 5151111104110	•••

To what extent have your organization's	Large	Moderat	Small	Not at	Not
achievements on your ATP project assisted in the	extent	e extent	extent	all	Applica
					ble
ENHANCE_REP	1	3	2.	1	-8
Enhancement of the organization's reputation	4	3	2	1	-8
ATTRACT_SCI	1	3	2.	1	-8
Attraction of scientists or other employees	4	3	4	1	-0
ATTRACT_EXT_FUND					
Attraction of funding for the line of research from	4	3	2	1	-8
external sources (e.g., federal, state and local	4	3	2	1	-8
governments, other companies)					
ATTRACT_INT_FUND					
Attraction of internal funding for this line of	4	3	2	1	-8
research					

As a result of your organization's	Much	More	Neither	Less	Much
experience with the ATP project,	more	likely	more or	likely	less
would you say your organization is	likely		less likely		likely
more or less likely to:					
PURSUE_HIRISK					
Pursue R&D projects with high-					
technical risk					
PURSUE_LONG					
Pursue R&D projects with longer					
time horizons					
COLLAB_COMP					
Collaborate in R&D with companies					
COLLAB_NP					
Collaborate in R&D with universities					
and other nonprofit organizations					

Project Value

Consider the relationship between your ATP project and other R&D projects at your organization.

To what extent has your ATP project ...

ENHANCE_OTH_RD	
Enhanced the value of other R&D at your organization?	
Large extent	
Moderate extent	
Small extent Not at all	
Tiot at all	1
STIMULATE_NEW_RD	
Stimulated new ideas for R&D at your organization?	
Large extent	4
Moderate extent	
Small extent	2
Not at all	1

Project impacts

ENV	7	M	D	۸ ۱		
EIN I	/	LIV		Δ	ر ب	L

Has the technology developed by your organization during the ATP project produced any environmental impacts to date?

ENV_IMPACT_EXPECT

If not, do you <u>expect</u> the technology developed during the ATP project to have any environmental impacts in the future?

Yes1 No......2

HS_IMPACT

Has the technology developed by your organization during the ATP project produced any health or safety impacts to date?

HS_IMPACT_EXPECT

If not, do you <u>expect</u> the technology developed during the ATP project to have any health or safety impacts in the future?

Yes1 No......2

OVERALL_VALUE

Overall, in terms of generating value to your organization, would you consider the project to be ...

Very successful	5
Successful	4
Neither successful not unsuccessful	
Unsuccessful	
Very unsuccessful	

Section 10: Technology Innovation

Technology Innovation

TECH_INNOV Please briefly describe the key technological innovation of your organization's contribution to that innovation.	ATP project, and your
TECH_ADVAN What is the advantage of this technology over existing technolog technologies?	gies or alternative
Please check the descriptions which best characterize the technoall that apply):	logical innovation (check
Product innovation	TECH_PROD
Process innovation	TECH_PROC
Novel components within a relatively standard system	TECH_NOV_COMP
Novel overall system	TECH_NOV_SYS

Product and Applications
[If TYPE_OF_PARTICIPATION = JVL]
We use the term product to include both goods and services.
Please think about the product (the good or service) from your organization that incorporates the ATP project technology. This product embodies either a product innovation or a process innovation from the ATP project.
PROD_DESC Please describe this product from your organization. Describe the product in general terms; later in this section we will ask you to describe specific product applications.
For joint venture (JV) projects, please describe only your organization's product. Other JV partners will report on their products.
Compared to existing products, does this product provide New features
We use the term product application to mean applications to specific industry uses.
Please describe product applications that your organization has identified.
Product applications
[APP#_DESC]
Add/Update Press 'Add/Update' button to add another row, or to update table.

Section 11: Future Updates

Project Contact Person

The Project Contact Person for your organization will receive future emails and notifications regarding gathering follow up information on your ATP-funded work. Please select from the table below which member of your staff you would like to designate to be the Project Contact Person.

[INSERT KEY PERSONNEL TABLE WITH "ADD A NEW NAME OPTION"]

If TCON, BCON, or ACON selected, pre-fill all available information:

Please verify the following contact information for [selected name]: RCON FNAME First Name RCON_LNAME Last Name RCON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs.] RCON TITLE **Position Title** RCON_GNDR Male____ Female _____ Gender RCON_ORG1 Organization Name Line 1 Organization Name Line 2 RCON ORG2 RCON_ADD1 Street Address Line 1 (no PO Box addresses, please) Street Address Line 2: RCON ADD2 RCON_ADD3 Street Address Line 3 RCON CITY City RCON STATE State RCON_ZIP Zip RCON PHONE Telephone RCON_EXT Ext. RCON FAX Fax RCON EMAIL E-mail

If old name that is not TCON, BCON, OR ACON selected (pre-fill all available information):

Please provide the following contact information for [selected name]: RCON_FNAME First Name **RCON LNAME** Last Name RCON_SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs.] RCON TITLE Position Title Gender RCON_GNDR Male____ Female _____ RCON_ORG1 Organization Name Line 1 Organization Name Line 2 RCON_ORG2 Street Address Line 1 (no PO Box addresses, please) RCON ADD1 RCON_ADD2 Street Address Line 2: RCON_ADD3 Street Address Line 3 RCON_CITY City RCON STATE State RCON_ZIP Zip RCON_PHONE Telephone RCON_EXT Ext. RCON_FAX Fax RCON EMAIL E-mail

If "ADD A NEW NAME selected:

Please provide the following contact information for the BRS Contact Person:

RCON FNAME First Name RCON LNAME Last Name RCON SALUT [Drop down box with following options: Dr., Mr., Miss, Mrs.] RCON TITLE Position Title Male____ Female _____ RCON GNDR Gender RCON ORG1 Organization Name Line 1 RCON_ORG2 Organization Name Line 2 Street Address Line 1 (no PO Box addresses, please) RCON ADD1 RCON ADD2 Street Address Line 2: Street Address Line 3 RCON ADD3 RCON_CITY City RCON_STATE State RCON ZIP Zip RCON PHONE Telephone Ext. RCON_EXT RCON FAX Fax RCON_EMAIL E-mail

Comments

We are very interested in your reactions to this Annual Report. Below are a few questions which will assist us in improving the report for future administrations.

DIFF_NAV
How difficult or easy was it to navigate through the report?
Very difficult5
Somewhat difficult4
Neither difficult or easy
Very easy1
NUM_CONSULTED
How many people did you consult to answer questions on the report?
REPORT_LIKED
Was there anything you particularly liked about this web-based report? If so, please tell
us.

REPORT_IMPROVE
Are there any improvements that you would like to recommend? If so, please tell.
